Public - To be published on the Trust external website

Risk Assessment (H&S) Procedure

Ref: HS-0001-017-v2

Status: Approved
Document type: Procedure
Overarching policy: Health and Safety Policy

Contents

1 Introduction

The Trust has a legal and moral obligation to manage risk. By following this procedure responsible persons will ensure that the health and safety risks are adequately controlled.

This procedure links to Our Journey To Change as outlined within the Health and Safety Policy.

Note:

This procedure does not cover arrangements for organisational risk management in the Trust. This is set out in the [Organisational Risk Management Policy](#))

This policy does not cover the assessment and management of clinical risks relating to individual service users. This is set out in the [Harm Minimisation (Clinical Risk Assessment and Management) Policy](#)

2 Purpose

Following this procedure will help the Trust to comply with its legal obligations:

- Health and Safety at Work etc. Act 1974
- Management of Health and Safety at Work Regulations 1999

3 Who this procedure applies to

This procedure applies to all bank, locum, permanent, fixed term contract employees (including apprentices) who hold a contract of employment or are engaged with the Trust, and seconded (including students), volunteers, non-Executive Directors, Governors, and those undertaking research work within TEWV Trust. It also applies to external contractors, agency workers, including those within the GIG economy, limb workers, those on honorary contracts, those on work experience and other workers who are assigned to TEWV Trust.

4 Related documents

This procedure describes what you need to do to implement duties under the Trust Health and Safety Policy.

This procedure also refers to:

- ✓ Organisational Risk Management Policy

5 Procedure

Managers need to:

- Identify the risks the team are exposed to.
- List the risks in order of priority.
- Carry out detailed risk assessments for your area ensuring you capture all hazards present. Examples of these are:
    - Violence and Aggression.
    - Lone Working.
    - Control of Substances Hazardous to Health.
    - Manual Handling of Objects.
    - Manual Handling of Patients.
    - Slip, Trips and Falls.
    - New and Expectant Mothers/People.
    - Display Screen Equipment.
    - Wellbeing (Stress).

    Please note that this list is not comprehensive.
- Involve and communicate risk assessment findings to all appropriate staff.
- Monitor the effectiveness of control measures.
- Ensure that they consider the following: *"Some workers have particular requirements, for example young workers, migrant workers new or expectant mothers and people with disabilities."* HSE Website: Risk assessment: Steps needed to manage risk – HSE.
- Ensure that staff groups and individuals identified as being at risk are provided with appropriate information, instruction, and training (including training at induction), updates and refresher training as necessary.
- Ensure that risk assessments are reviewed on a regular basis e.g., after legislative changes, after guidance changes, if control measures are ineffective, after an incident or if the task/person has changed etc.
- Ensure that if you are unable to manage the risks presented that these are escalated appropriately, documented on the risk assessment and evidence retained.

5.1 Plan, Do, Check, Act

Risk Assessments are a fundamental part of a health and safety management system. The Trust utilises the Health and Safety Executive (HSE) HSG65, Plan, Do, Check, Act model as its Health and Safety Management System to ensure compliance.

Risk assessment falls under the 'Do' section of 'Plan, Do, Check, Act'. The HSE gives the following advice:

- *"Identify your risk profile:*
  - *Assess the risks, identify what could cause harm in the workplace, who it could harm and how, and what you will do to manage the risk*
  - *Decide what the priorities are and identify the biggest risk."* HSE Website: Plan, Do, Check, Act summary - Managing health and safety – HSE

The Plan, Do, Check, Act cycle - Reference HSG65

5.2 Methodology

The objective of risk assessment is to reduce and/or eliminate the consequence of a risk being realised thereby reducing accidents, harm, loss, or disruption to services.

Effective risk assessment is based on a series of steps:
- Step 1 – Identify the hazards.
- Step 2 – Decide who might be harmed and how.
- Step 3 – Evaluate the risks and decide on precautions.
- Step 4 – Record your findings and implement them.
- Step 5 – Review your assessment and update if necessary.

Further information on the 5 steps to risk assessment can be found in Appendix 2.

Risk assessments:
- Should be documented on the form contained in Appendix 1 Risk Assessment Form.
- Should be rated.
- Should be undertaken by competent people.
- Should consider all groups that could be affected e.g., staff, contractors' visitors, patients, housekeeping staff, estates staff etc.
- Should consider all aspects of the work, including maintenance and cleaning.
- Should be held locally.
- Should be reviewed on a regular basis.

Top tips on risk assessment can be found in Appendix 3.

5.3 Reviewing Control Measures and Risk Assessments

You must review the risk assessments and control measures you have put in place to make sure they are working.

You should also review them if:
- There are changes in legislation.
- There are changes in guidance.
- There has been an incident.
- They may no longer be effective.
- There are changes in the workplace that could lead to new risks such as changes to:
  - Staff.
  - A process / task / activity.
  - The substances or equipment used.
- Problems are picked up during supervision or feedback has been given by staff.

Planned reviews can also be undertaken.

Update your risk assessment and record any changes you make.

5.4 Reasonably Practicable

"You're not expected to eliminate all risks, but you need to do everything 'reasonably practicable' to protect people from harm. This means balancing the level of risk against the measures needed to control the real risk in terms of money, time, or trouble." HSE Website Risk Assessment: Steps needed to manage risk.

This should be taking into consideration when undertaking/reviewing your risk assessments.

5.5 Suitable and Sufficient

The law states that a risk assessment must be 'suitable and sufficient', i.e., it should show that:

- A proper check was made.
- It states who might be affected.
- All the obvious significant risks are dealt with.
- It considers the number of people who could be harmed and how.
- The precautions/mitigations/control measures are reasonable.
- The remaining risk is low.
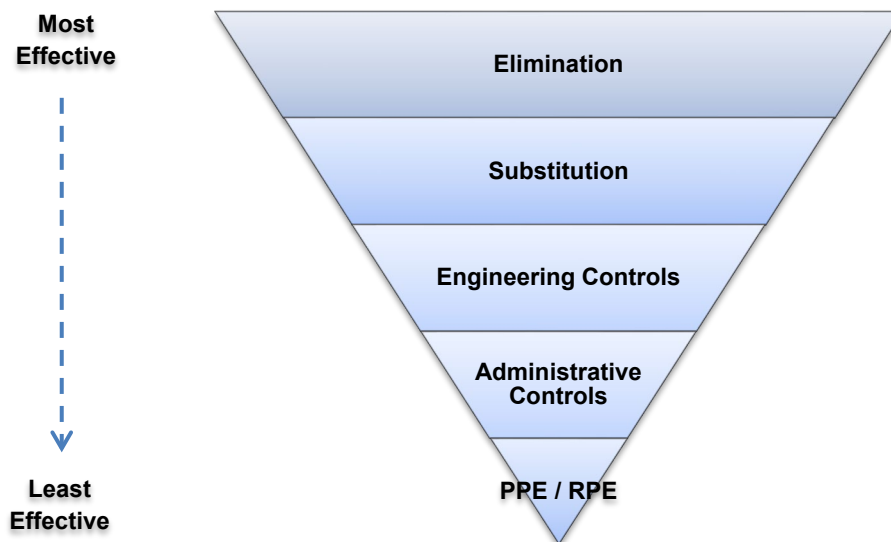- Workers or their representatives were involved in the process.

Please note that the level of detail in a risk assessment should be proportionate to the risk and appropriate to the nature of the work.

A checklist to determine if your risk assessment is suitable and sufficient is available in Appendix 4.

5.6 Hierarchy of Control

Effective health and safety is the robust management of risk.

Risk mitigation must employ the hierarchy of control, and this should be used when undertaking a risk assessment. Please refer to the diagram shown below:

Most Effective

Elimination

Substitution

Engineering Controls

Administrative Controls

PPE / RPE

Least Effective

The hierarchy of control uses a systematic approach:
- Elimination
  - The risk no longer exists.
- Substitution
  - Replacing the material or process for a less hazardous one.
- Engineering controls
  - Use of equipment, physical barriers, screens, ventilation etc. Giving priority to measures which protect collectively over individual measures.
- Administrative controls
  - These are policies, procedures, signage etc.
- Personal Protective Equipment (PPE)
  - Should be employed after all other measures have been considered.

5.7 Risk Matrix

A risk matrix tool is used to prioritise and evaluate the level of risk. This is detailed within Appendix 1.

6 Health, Safety and Security Team

The Health, Safety and Security Team (which also includes a Local Security Management Specialist) provides advice and support to all staff and managers around the management of risk.

7 Definitions

Term	Definition
Hazard	• A hazard is a potential source of harm or adverse health effect on a person.

Risk	• The likelihood that a person may be harmed or suffer adverse health effects if exposed to a hazard.
	• The extent of the risk will depend on:
	  a) the likelihood of that harm occurring
	  b) the potential severity of that harm, i.e., of any resultant injury or adverse health effect; and
	  c) the population which might be affected by the hazard, i.e., the number of people who might be exposed

Severity	• The potential severity of the risk being realised.
Likelihood	• How likely the risk event might happen.
Risk Rating	• The risk rating is derived from the likelihood score multiplied by the severity score Appendix 1 Risk Assessment Form).
Risk Reduction	• The process by which the risk is managed to reduce the severity and/or likelihood of the occurrence of the event.
Risk Assessment	• Is a systematic evaluation of a work task or facility to identify hazards and evaluate their likelihood to cause harm in all foreseeable situations.
Risk Management	• Is the process of deciding what to do when the risks are identified, the implementation of the agreed actions and the monitoring of the risk assessment process.
Control Measures	• Mitigations in place to reduce risk.

8 How this procedure will be implemented

• This procedure will be published on the Trust's intranet.
• Line managers will disseminate this procedure to all Trust employees through a line management briefing.
• Line managers to ensure that the appropriate staff are booked on to the courses identified in the below training needs analysis and the examination (where applicable) is successfully completed.

8.1 Training needs analysis

Staff/Professional Group	Type of Training	Duration	Frequency of Training
All staff	Risk Assessment Awareness (Toolkit and Risk Assessment workshop)	1 hour	2 yearly
Supervisors and Managers	Risk Assessment Training.	1 day	2 yearly

9 How the implementation of this procedure will be monitored

Number	Auditable Standard/Key Performance Indicators	Frequency/Method/Person Responsible	Where results and any Associate Action Plan will be reported to, implemented and monitored; (this will usually be via the relevant Governance Group).
1	Compliance with the legal requirements outlined within the Management of Health and Safety at Work Regulations 1999. *NB. There are 14 questions listed in the audit template that are assessed for compliance.*	**Frequency:** Annual rolling audit programme. **Method:** Risk Assessment audits will be undertaken for a sample of all teams utilising a standard audit template via an internet-based audit platform. Results are collated and discussed at Health, Safety, Security and Fire Group (HSSF GROUP) with a report to be submitted to the appropriate committee. **Responsible:** Undertaken by members of the Health and Safety Team as directed by the Head of Health, Safety and Security.	Implementation and monitoring are directed by the Executive Risk Group and devolved to the HSSF Group.

10 References

- ✓ Health & Safety at Work Act 1974
- ✓ Management of Health and Safety at Work Regulations 1999 (MHSWR)
- ✓ Managing for Health and Safety HSG65
- ✓ HSE website: Consulting employees whose first language is not English (hse.gov.uk, accessed 1st June 2022)
- ✓ HSE website: Young people at work (hse.gov.uk, accessed 1st June 2022)
- ✓ HSE website: Diversity in the workplace - New to the job (hse.gov.uk, accessed 1st June 2022)

11 Document control (external)

To be recorded on the policy register by Policy Coordinator

Date of approval	02 April 2024
Next review date	02 April 2027
This document replaces	HS-0001-017-v1
This document was approved by	EFM DMT
This document was approved	12 March 2024
This document was ratified by	Health, Safety, Security and Fire Group
This document was ratified	02 April 2024
An equality analysis was completed on this policy on	12 January 2024
Document type	Public
FOI Clause (Private documents only)	n/a

Change Record

Version	Date	Amendment details	Status
1	03 April 2023	New document	Withdrawn
1	26 April 2023	Minor formatting changes due to accessibility reviewed on risk assessment. No change to content	Withdrawn
1	05 June 2023	Document control updated to show full approval information. No change to content.	Withdrawn
2	02 Apr 2024	Full review and clarified wording. Added additional guidance into section 5.0: • Added section 5.3 • Added section 5.4 • Added section 5.5 Added additional Appendix 2 Added additional Appendix 3 Added additional Appendix 4	Approved

Appendix 1 – Risk Assessment Form

An MS Word Version of this risk assessment form is available on the T-Drive located here (copy file path and paste into file explorer pathway):
T:\Intranet Published Documents\Working here\Health and Safety\Health and safety toolkit\Risk Assessments

Risk Assessment

Location:	
Document Reference No.:	
Date of Risk Assessment:	
Work Area:	
Task Being Assessed:	
Review Date:	

Key: L = Likelihood   S= Severity   R = Rating

Risk Rating: L x S = R

Item No.	What is the hazard?	Who might be harmed and how?	Existing risk control measures	Existing risk assessment rating			Additional control measures to be applied	Residual Risk Rating with additional control measures applied		
				L	S	R		L	S	R

Item No.	What is the hazard?	Who might be harmed and how?	Existing risk control measures	Existing risk assessment rating			Additional control measures to be applied	Residual Risk Rating with additional control measures applied		
				L	S	R		L	S	R

Name of Assessor:	
Signature of Assessor:	
Name of Manager:	
Signature of Manager:	

A more accessible version of the risk assessment is available upon request.

Risk Matrix R (Risk) = L (Likelihood) x S (Severity)

		Severity				
		1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
Likelihood	**5** Almost Certain	5	10	15	20	25
	4 Likely	4	8	12	16	20
	3 Possible	3	6	9	12	15
	2 Unlikely	2	4	6	8	10
	1 Rare	1	2	3	4	5

Severity Descriptor Examples:

1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
• Minimal Injury requiring no/minimal intervention or treatment • No time off work	• Minor injury or illness, requiring minor intervention • Requiring time off work for <3 days • Increase in length of hospital stay by 1-3 days	• Moderate injury requiring professional intervention • Requiring time off work for 4-14 days • Increase in length of hospital stay by 4-15 days • RIDDOR/agency reportable incident • An event which impacts on a small number of patients	• Major injury leading to long-term incapacity/disability • Requiring time off work for >14 days • Increase in length of hospital stay by > 15 days • Mismanagement of patient care with long-term effects	• Incident leading to death • Multiple permanent injuries or irreversible health effects • An event which impacts on a large number of patients

Outstanding Action Log

Recommended Actions	Priority Rating	Target Date	Responsible Person / Department	Actions Taken and Comments	Date Completed

Appendix 2 – Further Information on the 5 Steps to Risk Assessment

1. **Identify the hazards:**
   - Accurately identify the potential hazards in your workplace.
   - Walk around your workplace and think about the potential hazards.
   - What is it about the activities, processes or substances used that could injure your employees or harm their health?
   - There are some hazards with a recognised risk of harm, for example working at height, working with chemicals, machinery, and asbestos.
   - Some tips for identifying hazards are:
   - Check manufacturers' instructions or data sheets.
   - Accident and ill-health records.
   - Non-routine operations are particularly hazardous (e.g. maintenance, cleaning operations or changes in work).
   - Think about long-term hazards to health (e.g. high levels of noise or exposure to harmful substances).

2. **Assess:**
   - Think about who might be harmed and how?
     i. Trust staff, staff from other organisations, contractors, visitors, students, patients, members of the public etc. Be specific for each identified hazard.
   - Shared workplace?
     i. Consider how your work affects others and how their work affects you and your workers.
     ii. Communication between parties is key.
   - Involve staff in the risk assessment process.
   - Some workers will require specific control measures, e.g. new and young workers, new and expectant mothers/people, people with disabilities, temporary workers, contractors, homeworkers and lone workers.

3. **Evaluate the risks:**
   - For each hazard identify how likely it will be for harm to occur.
   - You must understand the risks and how to manage them appropriately.
   - You need to do everything 'reasonably practicable' to protect people from harm. This means balancing the level of risk against the measures needed to control them.
   - The greater the hazard the more robust and reliable the measures to control the risk of an injury occurring will need to be.
   - Risk mitigation MUST employ the hierarchy of control, and this should be at the forefront when thinking about control measures.
   - You must check that any control measures that you put into place do not create other hazards.

4. Record:

- Record your significant findings.
- Any record produced should be simple and focussed on controls.
- A risk assessment must be 'suitable and sufficient' i.e. it should show that:
    i. A proper check was made.
    ii. You have identified who might be affected.
    iii. You dealt with all the obvious significant hazards, taking into account the number of people who could be involved.
    iv. The precautions are reasonable, and the remaining risk is low.
    v. You involved your employees or their representatives in the process.

5. Review:

- Review what you are doing on an ongoing basis:
    i. Have there been any significant changes?
        1. Legislative changes, guidance, task/activity, equipment/processes, people.
    ii. Are there improvements you still need to make?
        1. Control measures are not working effectively (i.e. you observe workers are not following the risk assessment control measures).
    iii. Have your workers spotted a problem?
    iv. Have you learnt anything from accidents or near misses?

Appendix 3 – Risk Assessment Top Tips

1. Ensure that at least two, preferably three, people who understand the task are involved in the creation and reviewing of risk assessments.

2. Involve those who carry out the task / use equipment in the writing and review of risk assessments.

3. Make sure those completing risk assessments are competent. This can be defined as those with the necessary Knowledge, Ability, Training, and Experience (KATE) to identify hazards and implement sensible, proportionate solutions.

4. Within the risk assessment, ensure that you consider *how* a person can be injured and the resulting injury (i.e., punch to head resulting in head injury, etc.).

5. Reference applicable guidance, both from the HSE, trade associations and relevant TEWV Policies and Procedures.

6. Look to cross reference to other risk assessments that are in place to prevent duplication.

7. Avoid generic, ambiguous terms such as 'heavy and PPE'. Instead use more precise weight measurements, for example '<25kg', and be explicit with the PPE to be worn and the standard of the PPE item. Be specific with statements for example 'a person will/must/shall use hearing protection', etc.

8. Make sure you communicate the findings of risk assessments to staff and obtain documented evidence that this has been seen.

9. Ensure that risk assessments are reviewed regularly.

10. Have an index in place which lists all assessments, and the dates reviews are required, to provide a quick reference guide.

Appendix 4 – Is Your Risk Assessment Suitable and Sufficient? Checklist

Is my risk assessment approach suitable and sufficient?

If you can answer 'yes' to all the questions, then your approach is likely to be considered a suitable and sufficient risk assessment.

Question	Yes	No
Have you completed all 5 steps of the risk assessment process?		
Does it identify the significant risks?		
Are the details proportionate to the risk?		
Have you considered and documented all those who might be affected by the activities?		
Have you considered and documented how all those affected could be harmed and how?		
The precautions / mitigations / control measures are reasonable?		
The remaining/residual risk is low?		
Have all relevant parties been involved in the risk assessment process?		
Have the risk assessments been communicated to all staff?		
Are the risk assessments available to all staff?		
Has evidence been retained of all communication?		
Have you got a register in place documenting all of your risk assessments?		
Have reviews of the risk assessments been logged / evidenced?		

It is importance that you document what you have done in regard to following the risk assessment process.

Documenting the process, you have followed provides an audit trail to help you demonstrate to relevant parties that what you have done represents a suitable and sufficient risk assessment.

Appendix 5 - Equality Analysis Screening Form

Please note: The Equality Analysis Policy and Equality Analysis Guidance can be found on the policy pages of the intranet

Section 1	Scope
Name of service area/directorate/department	Health & Safety, EFM
Title	Risk Assessment Procedure
Type	Procedure
Geographical area covered	Trust wide
Aims and objectives	The objectives of this procedure are to: • Comply at all times with the Health and Safety at Work etc. Act 1974 etc., the Management of Health and Safety at Work Regulations 1999 and all other relevant statutory provisions; • Manage health and safety effectively to improve the quality of patient care, visitors and working conditions of staff and others.
Start date of Equality Analysis Screening	01 December 2023
End date of Equality Analysis Screening	12 January 2024

Section 2	Impacts
Who does the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan benefit?	All staff, patients, contractors and visitors and the general community.
Will the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or	• **Race** (including Gypsy and Traveller) **NO** • **Disability** (includes physical, learning, mental health, sensory and medical disabilities) **NO**

Business plan impact negatively on any of the protected characteristic groups?	• **Sex** (Men, women and gender neutral etc.) **NO**
	• **Gender reassignment** (Transgender and gender identity) **NO**
	• **Sexual Orientation** (Lesbian, Gay, Bisexual, Heterosexual, Pansexual and Asexual etc.) **NO**
	• **Age** (includes, young people, older people – people of all ages) **NO**
	• **Religion or Belief** (includes faith groups, atheism and philosophical beliefs) **NO**
	• **Pregnancy and Maternity** (includes pregnancy, women who are breastfeeding and women on maternity leave) **NO**
	• **Marriage and Civil Partnership** (includes opposite and same sex couples who are married or civil partners) **NO**
	• **Armed Forces** (includes serving armed forces personnel, reservists, veterans and their families **NO**
Describe any negative impacts	There will be times when health and safety has to take priority and this may have an impact on a person's protected characteristics. TEWV would however always try and mitigate as much as possible any negative impact whilst ensuring health and safety legislation is followed.
Describe any positive impacts	Procedure is in place to reduce risk to all staff, patients, visitors, contractors etc. The risk assessment process considers peoples protected characteristics.

Section 3	**Research and involvement**
What sources of information have you considered? (e.g. legislation, codes of practice, best practice, nice guidelines, CQC reports or feedback etc.)	Health & Safety at Work Act 1974 Management of Health and Safety at Work Regulations 1999 (MHSWR)

Have you engaged or consulted with service users, carers, staff and other stakeholders including people from the protected groups?	Yes
If you answered Yes above, describe the engagement and involvement that has taken place	Programme of visits and audits have been undertaken where concerns have been discussed and documented. These have been considered while reviewing the procedure.
If you answered No above, describe future plans that you may have to engage and involve people from different groups	

Section 4	Training needs
As part of this equality analysis have any training needs/service needs been identified?	No
Describe any training needs for Trust staff	N/A
Describe any training needs for patients	N/A
Describe any training needs for contractors or other outside agencies	N/A

Check the information you have provided and ensure additional evidence can be provided if asked

Appendix 6 – Approval checklist

	Title of document being reviewed:	Yes / No / Not applicable	Comments
1.	**Title**		
	Is the title clear and unambiguous?	Yes	
	Is it clear whether the document is a guideline, policy, protocol or standard?	Yes	
2.	**Rationale**		
	Are reasons for development of the document stated?	Yes	
3.	**Development Process**		
	Are people involved in the development identified?	Yes	
	Has relevant expertise has been sought/used?	Yes	
	Is there evidence of consultation with stakeholders and users?	Yes	
	Have any related documents or documents that are impacted by this change been identified and updated?	Yes	
4.	**Content**		
	Is the objective of the document clear?	Yes	
	Is the target population clear and unambiguous?	Yes	
	Are the intended outcomes described?	Yes	
	Are the statements clear and unambiguous?	Yes	
5.	**Evidence Base**		
	Is the type of evidence to support the document identified explicitly?	Yes	
	Are key references cited?	Yes	
	Are supporting documents referenced?	Yes	
6.	**Training**		
	Have training needs been considered?	Yes	
	Are training needs included in the document?	Yes	
7.	**Implementation and monitoring**		
	Does the document identify how it will be implemented and monitored?	Yes	

	Title of document being reviewed:	Yes / No / Not applicable	Comments
8.	**Equality analysis**		
	Has an equality analysis been completed for the document?	Yes	
	Have Equality and Diversity reviewed and approved the equality analysis?	Yes	12 January 2024
9.	**Approval**		
	Does the document identify which committee/group will approve it?	Yes	
10.	**Publication**		
	Has the policy been reviewed for harm?	Yes	
	Does the document identify whether it is private or public?	Yes	Public .
	If private, does the document identify which clause of the Freedom of Information Act 2000 applies?	Yes	